

Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT

U.S. Office of Government Ethics

Date of Appointment, Candidacy, Election or Nomination (Month, Day, Year)	Reporting Status (If Applicable)	Incumbent <input checked="" type="checkbox"/>	Calendar Year Covered by Report	New Entrant, Nominee, or Candidate <input type="checkbox"/>	Termination Filer <input type="checkbox"/>	Termination Date (If Applicable) (Month, Day, Year)	Fee for Late Filing Any individual who is required to file this report and does so more than 30 days after the date the report is required to be filed, or, if an extension is granted, more than 30 days after the last day of the filing extension period shall be subject to a \$200 fee.
1-22-09	Appropriate boxes		2011				
Reporting Individual's Name	Last Name		First Name and Middle Initial				
	Rice		Susan E.				
Position for Which Filing	Title of Position		Department or Agency (If Applicable)				
	US Permanent Representative to the United Nations		U.S. Department of State				
Location of Present Office (for forwarding address)	Address (Number, Street, City, State, and ZIP Code)				Telephone No. (Include Area Code)		
	The U.S. Department of State, 2201 C Street, NW, Washington, DC 20502				202-736-7555		
Position(s) Held with the Federal Government During the Preceding 12 Months (If Not Same as Above)	Title of Position(s) and Date(s) Held						
							Reporting Periods Incumbents: The reporting period is the preceding calendar year except Part II of Schedule C and Part I of Schedule D where you must also include the filing year up to the date you file. Part II of Schedule D is not applicable.
Presidential Nominees Subject to Senate Confirmation	Name of Congressional Committee Considering Nomination		Do You Intend to Create a Qualified Diversified Trust?				
			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No				
Termination Filers: The reporting period begins at the end of the period covered by your previous filing and ends at the date of termination. Part II of Schedule D is not applicable.							
Certification	Signature of Reporting Individual				Date (Month, Day, Year)		
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge.	Susan E. Rice				5/15/12		
Other Review (If desired by agency)	Signature of Other Reviewer				Date (Month, Day, Year)		
Agency Ethics Official's Opinion	Signature of Designated Agency Ethics Official/Reviewing Official				Date (Month, Day, Year)		
On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments in the box below).	[Signature]				June 19, 2012		
Office of Government Ethics Use Only	Signature				Date (Month, Day, Year)		
	[Signature]				8/17/12		
Comments of Reviewing Officials (If additional space is required, use the reverse side of this sheet)							
(Check box if filing extension granted & indicate number of days _____) <input type="checkbox"/>							
(Check box if comments are continued on the reverse side) <input type="checkbox"/>							
Agency Use Only							
OGE Use Only							
JUN 19 2012							

SCHEDULE A

01/23/09

[illegible]

* This category applies only if the asset/income is solely that of the filer's spouse or dependent children. If the asset/income is either that of the filer or jointly held by the filer with the spouse or dependent children, mark the other higher categories of value, as appropriate.

Prior Editions Cannot be Used.

(Use only if needed)

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[illegible]

Prior Editions Cannot be Used.

Reporting Individual's Name Rice, Susan E.	SCHEDULE A continued (Use only if needed)	Page Number 4
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Assets and Income BLOCK A			Valuation of Assets at close of reporting period BLOCK B											Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item. BLOCK C																		
														Type	Amount										Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria						
None <input type="checkbox"/>			None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	Over \$5,000,000
1	LENNAR CORP CDN NATURAL RES SHIRE	LEN CNQ SHP		x	x												x			x	x											
2	LAS VEGAS SANDS CORP DOLE FOOD CO COEUR D'ALENE MINES	LVS DOLE CDE		x	x												x			x	x											
3	MEDTRONIC INC MAPLE LEAF FOODS DIRECTV	MDT MFI DTV		x	x												x			x	x											
4	MARVELL TECH GRP LTD WELLS FARGO & CO ZURICH FINL SVCS	MRVL WFC		x	x												x			x	x											
5	EBAY INC OPKO HEALTH INC CITIGROUP INC	EBAY OPK C		x	x												x			x	x											
6	MONSANTO CO ELECTRONIC ARTS INC SANOFI	MON EA		x	x												x			x	x											
7	VODAFONE GROUP CANON INC AHOLD (KON) NV	VOD		x	x												x			x	x											
8	BCE INC TAIWAN SEMICONDUCTOR SEVEN & I HOLDINGS	BCE TSM		x	x												x			x	x											
9	EMERSON ELEC CO SUNCOR ENERGY INC KAO CORP	EMR SU		x	x												x			x	x											

* This category applies only if the asset/income is solely that of the filer's spouse or dependent children. If the asset/income is either that of the filer or jointly held by the filer with the spouse or dependent children, mark the other higher categories of value, as appropriate.

Reporting Individual's Name

Rice, Susan E.

SCHEDULE A continued

(Use only if needed)

Page Number

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01/23/09

Assets and Income			Valuation of Assets at close of reporting period											Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.											Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria							
BLOCK A			BLOCK B											BLOCK C																			
			None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type	Amount														
																	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	Over \$5,000,000		
1	ARCHER DANIELS MIDLD	ADM			X												X				X												
	APPLE INC	AAPL			X												X																
	MERCK & CO INC	MRK			X												X																
2	TESCO	TSCO			X												X						X										
	UNILEVER PLC	ULVR			X												X						X										
	NOVARTIS AG				X												X						X										
3	MARKET VECTORS ETF	GDX			X												X						X										
	MOLYCORP INC	MCP			X												X						X										
	ROYAL DUTCH SHELL				X												X						X										
4	GLAXOSMITHKLINE	GSK			X												X						X										
	FREEMPORT-MCMORAN C&G	FCX			X												X						X										
	WAL MART STORES INC	WMT			X												X						X										
5	DEERE & CO	DE			X												X						X										
	INTEL CORP	INTC			X												X						X										
	ROGERS COMMUNICATION	RCI.B					X										X						X										
6	AGRIUM INC	AGU				X											X																
	ISHARES SILVER TRUST	SLV				X											X																
	NEWMONT MINING CORP	NEM				X											X							X									
7	CDN TIRE CORP	CTC.A				X											X						X										
	CATERPILLAR INC	CAT				X											X						X										
	POTASH CORP OF SASK	POT				X											X						X										
8	INTL BUSINESS MCHN	IBM				X											X						X										
	COCA-COLA CO	KO				X											X						X										
	MCDONALDS CORP	MCD				X											X						X										
9	TELUS CORP	T.A				X											X						X										
	SPDR DOW JONES INDL	DIA				X											X						X										
	TRANSCANADA CORP	TRP					X										X						X										

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Prior Editions Cannot be Used.

Reporting Individual's Name
 Rice, Susan E.

SCHEDULE A continued

Page Number

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(Use only if needed)

01/23/09

Assets and Income		Valuation of Assets at close of reporting period										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.										Date (Mo., Day, Yr.) Only if Honoraria												
BLOCK A		BLOCK B										BLOCK C																						
												Type	Amount																					
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rents and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	Over \$5,000,000	Other Income (Specify Type & Actual Amount)		
1	JOHNSON & JOHNSON BANK OF MONTREAL BROOKFIELD ASSET MGT	JNJ BMO BAM.A				x											x																	
2	CDN IMP BANK COMMERC BANK OF NOVA SCOTIA GREAT-WEST LIFECO	CM BNS GWO					x										x																	
3	SPDR GOLD TR GOLD IMPERIAL OIL LTD TRANSALTA CORP	GLD IMO TA						x									x																	
4	ENCA CORP ENBRIDGE INC CENOVUS ENERGY	ECA ENB CVE						x									x																	
5	CDN PACIFIC RAILWAY ROYAL BANK CDA TORONTO DOMINION BK	CP RY TD						x									x																	
6	ROYAL TRUST CORP OF CDA - CASH CANADIAN ROYAL TRUST CORP OF CDA - CASH US								x									x																
7	EMERSON ELEC CO CATERPILLAR INC WAL MART STORES INC	EMR CAT WMT		x													x																	
8	ISHARES SILVER TRUST CDN TIRE CORP BCE INC	SLV CTC.A BCE			x												x																	
9	SPDR DOW JONES INDL TRANSCANADA CORP JOHNSON & JOHNSON	DIA TRP JNJ				x											x																	

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[illegible]

Prior Editions Cannot be Used.

(Use only if needed)

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Assets and Income

Valuation of Assets
at close of
reporting period

BLOCK C

Type

Amount

Other
Income
(Specify
Type &
Actual
Amount)

Date
(Mo., Day,
Yr.)

Only if
Honoraria

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(Use only if needed)

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BLOCK A

BLOCK B

BLOCK C

None

1	ISHARES S&P/TSX 60 INDEX FUND	XIU
	RBC PRIVATE CDN MID CAP EQUITY	
	RBC PRIVATE INCOME POOL	

2	RBC PRIVATE INT'L EQUITY POOL ISHARES TRUST RUSSELL 1000 IND	IWD
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3	RBC PRIVATE US MIDCAP EQUITY POOL
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4	MCGRAW HILL VERIZON COMMUNICATION WALT DISNEY CO
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5	UBS BANK USA DEP ACCT
	PFIZER
	DELL

6	UBS BANK USA DEP ACCT	
	CALVERT TAX FREE RESERVES MONEY MARKET	

7	WALKER DUNLOP	WD
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8	CREF STOCK
	CREF GROWTH
	CREF GLOBAL EQUITIES

9	TIAA REAL ESTATE CREF BOND MARKET CREF SOCIAL CHOICE
---	--

Other
Income
(Specify
Type &
Actual
Amount)

Date
(Mo., Day,
Yr.)

Only if
Honoraria

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Reporting Individual's Name
Rice, Susan E.

SCHEDULE A continued

Page Number

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(Use only if needed)

01/23/09

BLOCK A		BLOCK B										BLOCK C										Date (Mo., Day, Yr.) Only if Honoraria									
		Valuation of Assets at close of reporting period										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.																			
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	Over \$25,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	Over \$5,000,000	Other Income (Specify Type & Actual Amount)
None																															
1	DISNEY STOCK FUND FIDELITY CAP APPREC K FIDELITY FFEEDOM K 2026		X												X							X									
2	AMCAP FUND 529C GROWTH FUND OF AMERICA-529C SMALLCAP WORLD FUND-529C		X	X											X				X												
3	FUNDAMENTAL INVESTORS-529C THE INVESTMENT CO. OF AMERICA-529C CAPITAL WORLD GROWTH AND INCOME-529C			X											X				X												
4	THE BOND FUND OF AMERICA CAPITAL WORLD BOND FUND-529C			X											X							X									
5	PNC BANK ACCOUNT TD BANK ACCOUNT		X														X		X												
6	DISNEY CORP. (spouses salary) CAREER CORP (Career Counseling Services)						X												X												
7	RBC SELECT BALANCED PORTFOLIO WASHINGTON INVESTMENT GROUP				X								X		X									X							
8	KELVIN CREEK TIMBER LTD (Timber)							X											X												
9	INTENTIONALLY LEFT BLANK																														

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① per M. Alexander, Dept. of State. 8/8/12. KSyme.

Reporting Individual's Name Rice, Susan E.	SCHEDULE A continued (Use only if needed)	Page Number 11
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BLOCK A		Valuation of Assets at close of reporting period BLOCK B										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item. BLOCK C										Date (Mo., Day, Yr.) Only if Honoraria											
												Type	Amount																				
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Exempt Investment Fund	Exempt Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	Over \$5,000,000	Other Income (Specify Type & Actual Amount)	
None																																	
1	CARREFOUR SA EUR2.5	x															x																
	CIE DE ST-GOBAIN EUR4	x															x																
	FRANCE TELECOM EUR4	x															x																
2	INTESA SANPAOLO EUR0.52	x															x																
	RWE AG (NEU) NPV 'A'	x															x																
	SOC GENERALE EUR1.25	x															x																
3	TELEFONICA SA EUR1 (ESP)	x															x																
4																																	
5																																	
6																																	
7																																	
8																																	
9																																	

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Do not Complete Schedule B If you are a new entrant, nominee, Vice Presidential or Presidential Candidate

Reporting Individual's Name Rice, Susan E.	SCHEDULE B	Page Number 12
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Part I: Transactions

None ☐

Report any purchase, sale, or exchange by you, your spouse, or dependent children during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not

report a transaction involving property used solely as your personal residence, or a transaction solely between you, your spouse, or dependent child. Check the "Certificate of divestiture" block to indicate sales made pursuant to a certificate of divestiture from OGE.

Identification of Assets			Purch	Sale	Exch		\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Certif
Example: Central Airlines Common			x			2/1/99			x									
1	AHOLD (KON) NV EUR0.30		x			13-Jan-11	x											
	HUMAN GENOME SCI COMMON	HGSI	x			14-Jan-11	x											
2	MEDTRONIC INC COMMON	MDT	x			27-Jan-11	x											
	EBAY INC COMMON		x			27-Jan-11		x										
3	TESCO ORD 5P	TSCO	x			3-Feb-11	x											
	AHOLD (KON) NV EUR0.30		x			7-Feb-11	x											
4	HUMAN GENOME SCI COMMON	HGSI	x			7-Feb-11	x											
	ARCHER DANIELS MIDLD COMMON	ADM	x			7-Feb-11		x										
5	AHOLD (KON) NV EUR0.30		x			11-Feb-11	x											
	AOL INC COMMON	AOL	x			7-Mar-11		x										
6	DIRECTV COMMON CLASS A	DTV	x			7-Mar-11	x	x										
	COEUR D'ALENE MINES COMMON NEW	CDE	x			7-Mar-11			x									

* This category applies only if the underlying asset is solely that of the filer's spouse or dependent children. If the underlying asset is either held by the filer or jointly held by the filer with the spouse or dependent children, use the other higher categories of value, as appropriate.

Part II: Gifts, Reimbursements, and Travel Expenses

For you, your spouse and dependent children, report the source, a brief description, and the value of: (1) gifts (such as tangible items, transportation, lodging, food, or entertainment) received from one source totaling more than \$260; and (2) travel-related cash reimbursements received from one source totaling more than \$260. For conflicts analysis, it is helpful to indicate a basis for receipt, such as personal friend, agency approval under 5 U.S.C. § 4111 or other statutory authority, etc. For travel-related gifts and reimbursements, include travel itinerary, dates, and the nature of expenses provided. Exclude anything given to you by

the U.S. Government; given to your agency in connection with official travel; received from relatives; received by your spouse or dependent child totally independent of their relationship to you; or provided as personal hospitality at the donor's residence. Also, for purposes of aggregating gifts to determine the total value from one source, exclude items worth \$104 or less. See instructions for other exclusions.

None ☒

	Source (Name and Address)	Brief Description	Value
	Examples: Nat'l Assn. of Rock Collectors, NY, NY	Airline ticket, hotel room & meals incident to national conference 6/15/99 (personal activity unrelated to duty)	\$500
	Frank Jones, San Francisco, CA	Leather briefcase (personal friend)	\$300
1			
2			
3			
4			
5			

Do not Complete Schedule B if you are a new entrant, nominee, or Vice Presidential or Presidential Candidate

Reporting Individual's Name

Rice, Susan E.

SCHEDULE B continued

(Use only if needed)

Page Number

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Part I: Transactions

		Identification of Assets	Transaction Type (x)			Date (Mo., Day, Yr.)	Amount of Transaction (x)												Certificate of divestiture
			Purchase	Sale	Exchange		\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000		
		Example: Central Airlines Common	x			2/1/99			x										
1	MOSAIC CO COMMON	MOS	x			21-Mar-11		x											
	INTL BUSINESS MCHN COMMON	IBM	x			21-Mar-11		x											
2	MCDONALDS CORP COMMON	MCD	x			21-Mar-11		x											
	WAL MART STORES INC COMMON	WMT	x			21-Mar-11		x											
3	COCA-COLA CO COMMON	KO	x			21-Mar-11		x											
	CATERPILLAR INC COMMON	CAT	x			21-Mar-11		x											
4	EBAY INC COMMON	EBAY	x			21-Mar-11		x											
	WELLS FARGO & CO COMMON	WFC	x			21-Mar-11			x										
5	KINETIC CONCEPTS COMMON		x			21-Mar-11			x										
	ISHARES SILVER TRUST ISHARES	SLV	x			21-Mar-11			x										
6	DEERE & CO COMMON	DE	x			21-Mar-11			x										
	SEVEN & I HOLDINGS NPV		x			22-Mar-11	x												
7	KAO CORP NPV		x			22-Mar-11	x												
	SANOFI EUR2		x			22-Mar-11		x											
8	ENI EUR1		x			22-Mar-11		x											
	VODAFONE GROUP ORD USD0.11428571	VOD	x			22-Mar-11		x											
9	TESCO ORD 5P	TSCO	x			22-Mar-11		x											
	TAKEDA PHARMACEUTI NPV		x			22-Mar-11		x											
10	NOVARTIS AG CHF0.50(REGD)		x			22-Mar-11		x											
	AHOLD (KON) NV EUR0.30		x			22-Mar-11		x											
11	ROYAL DUTCH SHELL 'A'SHS EUR0.07		x			22-Mar-11		x											
	CIE DE ST-GOBAIN EUR4		x			22-Mar-11		x											
12	QBE INSURANCE GROUP ORD		x			22-Mar-11			x										
	POWERSHS DB MULTI SE ETF DB AGRICULT FD	DBA	x			23-Mar-11		x											
13	FREEPORT-MCMORAN C&G COMMON	FCX	x			24-Mar-11		x											
	AOL INC COMMON	AOL	x			20-Apr-11	x												
14	DIRECTV COMMON CLASS A	DTV	x			20-Apr-11		x											
	SINGAPORE TELECOMM SGD0.15(POST RE-ORG)		x			20-Apr-11		x											
15	SUNPOWER CORP CLASS A	SPWRA	x			20-Apr-11		x											
	FREEPORT-MCMORAN C&G COMMON	FCX	x			20-Apr-11		x											
16	GAP INC COMMON	GPS	x			20-Apr-11		x											
	MARKET VECTORS ETF GOLD MINER ETF	GDX	x			20-Apr-11		x											
17	FREEPORT-MCMORAN C&G COMMON	FCX	x			28-Apr-11		x											
	LENNAR CORP CLASS A	LEN	x			28-Apr-11		x											

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Part I: Transactions

			Transaction Type (x)			Date (Mo., Day, Yr.)	Amount of Transaction (x)												
			Purchase	Sale	Exchange		\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Certificate of divestiture	
Identification of Assets																			
	Example: Central Airlines Common		x			2/1/99			x										
1	TESCO ORD 5P	TSCO	x			3-May-11	x												
	MARVELL TECH GRP LTD COMMON	MRVL	x			5-May-11		x											
2	TAIWAN SEMICONDUCTOR SP ADR(5 ORD)		x			18-May-11	x												
	MARVELL TECH GRP LTD COMMON	MRVL	x			6-Jun-11	x												
3	FREEPORT-MCMORAN C&G COMMON	FCX	x			6-Jun-11	x												
	MARKET VECTORS ETF GOLD MINER ETF	GDX	x			6-Jun-11		x											
4	RWE AG (NEU) NPV 'A'		x			22-Jun-11		x											
	COMCAST CORP CLASS A		x			28-Jun-11		x											
5	NOVELLUS SYS INC COMMON		x			30-Jun-11		x											
	SUNPOWER CORP CLASS A	SPWRA	x			14-Jul-11	x												
6	OPKO HEALTH INC COMMON	OPK	x			14-Jul-11		x											
	ZURICH FINL SVCS CHF0.10		x			20-Jul-11	x												
7	FRANCE TELECOM EUR4		x			20-Jul-11		x											
	TESCO ORD 5P	TSCO	x			27-Jul-11	x												
8	SOC GENERALE EUR1.25		x			10-Aug-11	x												
	TELEFONICA SA EUR1 (ESP)		x			10-Aug-11	x												
9	CHESAPEAKE ENERGY COMMON	CHK	x			11-Aug-11		x											
	EMERSON ELEC CO COMMON	EMR	x			24-Aug-11	x												
10	HUMAN GENOME SCI COMMON	HGSI	x			24-Aug-11		x											
	TEJON RANCH CO COMMON	TRC	x			24-Aug-11		x											
11	ATP OIL & GAS CORP COMMON	ATPG	x			24-Aug-11		x											
	NOVELLUS SYS INC COMMON	NVLS	x			13-Sep-11	x												
12	MARVELL TECH GRP LTD COMMON	MRVL	x			13-Sep-11	x												
	OPKO HEALTH INC COMMON	OPK	x			13-Sep-11	x												
13	CELGENE CORP COMMON	CELG	x			23-Sep-11		x											
	GAP INC COMMON	GPS	x			12-Oct-11	x												
14	DEERE & CO COMMON	DE	x			12-Oct-11	x												
	COMCAST CORP CLASS A	CMCSA	x			12-Oct-11	x												
15	MEDTRONIC INC COMMON	MDT	x			12-Oct-11		x											
	EMERSON ELEC CO COMMON	EMR	x			12-Oct-11		x											
16	FREEPORT-MCMORAN C&G COMMON	FCX	x			12-Oct-11		x											
	ARCHER DANIELS MIDLD COMMON	ADM	x			12-Oct-11		x											
17	WAL MART STORES INC COMMON	WMT	x			12-Oct-11		x											
	CATERPILLAR INC COMMON	CAT	x			12-Oct-11		x											

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Part I: Transactions

Identification of Assets			Transaction Type (x)			Date (Mo., Day, Yr.)	Amount of Transaction (x)											
			Purchase	Sale	Exchange		\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Certificate of divestiture
Example: Central Airlines Common			x			2/1/99			x									
1 MERCK & CO INC COMMON	MRK		x			12-Oct-11		x										
MCDONALDS CORP COMMON	MCD		x			12-Oct-11		x										
2 COCA-COLA CO COMMON	KO		x			12-Oct-11		x										
INTEL CORP COMMON	INTC		x			12-Oct-11			x									
3 CDN UTILITIES LTD CLASS A NON VTG	CU		x			13-Oct-11	x											
BANK OF NOVA SCOTIA COMMON	BNS		x			13-Oct-11		x										
4 ROGERS COMMUNICATION CLASS B NON VTG	RCI.B		x			13-Oct-11		x										
SUN LIFE FNCL INC COMMON	SLF		x			13-Oct-11		x										
5 CDN IMP BANK COMMERC COMMON	CM		x			13-Oct-11		x										
NATIONAL BK CDA COMMON	NA		x			13-Oct-11		x										
6 TELUS CORP NON VTG	T.A		x			13-Oct-11		x										
BCE INC COMMON	BCE		x			13-Oct-11		x										
7 CDN UTILITIES LTD CLASS A NON VTG	CU		x			14-Oct-11	x											
CORNING INCORPORATED COMMON	GLW		x			14-Oct-11		x										
8 CARREFOUR SA EUR2.5			x			14-Oct-11		x										
MOLYCORP INC COMMON	MCP		x			14-Oct-11		x										
9 NVIDIA CORP COMMON	NVDA		x			14-Oct-11		x										
CDN UTILITIES LTD CLASS A NON VTG	CU		x			17-Oct-11	x											
10 CDN UTILITIES LTD CLASS A NON VTG	CU		x			18-Oct-11	x											
SUNPOWER CORP CLASS A	SPWR		x			18-Oct-11		x										
11 HUMAN GENOME SCI COMMON	HGSI		x			18-Oct-11		x										
SMITHFIELD FOODS INC COMMON	SFD		x			18-Oct-11		x										
12 CDN UTILITIES LTD CLASS A NON VTG	CU		x			19-Oct-11	x											
CDN UTILITIES LTD CLASS A NON VTG	CU		x			19-Oct-11	x											
13 MOLYCORP INC COMMON	MCP		x			25-Oct-11		x										
CITIGROUP INC NEW COMMON STOCK	C		x			25-Oct-11		x										
14 CORNING INCORPORATED COMMON	GLW		x			9-Nov-11	x											
CONTINENTAL RES COMMON	CLR		x			9-Nov-11		x										
15 AMERICAN EAGLE OUTFIT COMMON	AEO		x			9-Nov-11		x										
CHESAPEAKE ENERGY COMMON	CHK		x			28-Nov-11		x										
16 MOLYCORP INC COMMON	MCP		x			28-Nov-11		x										
DOLE FOOD CO COMMON	DOLE		x			28-Nov-11		x										
17 MONSANTO CO COMMON	MON		x			28-Nov-11		x										
MOLYCORP INC COMMON	MCP		x			8-Dec-11		x										

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Part I: Transactions

				Transaction Type (x)			Date (Mo., Day, Yr.)	Amount of Transaction (x)												
Identification of Assets				Purchase	Sale	Exchange		\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Certificate of divestiture	
Example: Central Airlines Common				x			2/1/99			x										
1	ELECTRONIC ARTS INC COMMON STOCK	EA		x			6-Dec-11		x											
	CLEARWIRE CORP NEW CL A	CLWR		x			6-Dec-11		x											
2	APPLE INC COMMON	AAPL		x			6-Dec-11			x										
	POSCO ADR(0.25 ORD SHRS)			x			14-Dec-11	x												
3	ICON PUB LTD CO SP ADR(1 ORD)			x			14-Dec-11		x											
	HONDA MOTOR CO ADR (1 ORD)	HMC		x			14-Dec-11		x											
4	ADVANCED SEMICONDUCTR SPONSORED ADR			x			14-Dec-11		x											
	SPDR GOLD TR GOLD GOLD SHARES NPV	GLD		x			14-Dec-11					x								
6	DIAGEO ORD 28 101/108P	DGE		x			15-Dec-11	x												
	NORSK HYDRO ASA NOK1.088			x			15-Dec-11	x												
8	KON KPN NV EUR0.24(NL)			x			15-Dec-11	x												
	LUXOTTICA GROUP EUR0.06			x			15-Dec-11		x											
7	CREDIT SUISSE GRP AG CHF0.04(REGD)			x			15-Dec-11		x											
	DEUTSCHE BANK AG NPV(EU) REG.			x			15-Dec-11		x											
8	ERICSSON(LM)TEL SER'B' NPV			x			15-Dec-11		x											
	BASF SE NPV			x			15-Dec-11		x											
9	HITACHI NPV			x			16-Dec-11		x											
	ROCHE HLDGS AG GENUSSSCHEINE NPV			x			16-Dec-11		x											
10	HSBC HOLDINGS ORD USD0.50(UK REG)			x			16-Dec-11		x											
	GETINGE SER'B'NPV			x			16-Dec-11		x											
11	RIO TINTO LIMITED ORD	RIO		x			16-Dec-11		x											
	BHP BILLITON PLC ORD USD0.50	BLT		x			16-Dec-11		x											
12	SHIRE ORD 5P	SHP		x			15-Dec-11		x											
	ARCHER DANIELS MIDLD COMMON	ADM		x			19-Dec-11	x												
13	ELECTRONIC ARTS INC COMMON STOCK	EA		x			19-Dec-11		x											
	SINGAPORE TELECOMM SGD0.15 (POST RE-ORG)				x		13-Jan-11	x												
14	ALLSTATE CORP COMMON	ALL			x		14-Jan-11	x												
	BANCO SANTANDER RTS JAN 31 11				x		19-Jan-11	x												
16	AVIVA ORD 25P				x		26-Jan-11	x												
	FREEPORT-MCMORAN C&G COMMON	FCX			x		27-Jan-11	x												
18	FREEPORT-MCMORAN C&G COMMON	FCX			x		27-Jan-11	x												
	ADV MICRO DEVICES COMMON	AMD			x		27-Jan-11	x												
17	DR PEPPER SNAPPLE COMMON	DPS			x		27-Jan-11	x												
	NOVELLUS SYS INC COMMON	NVLS			x		27-Jan-11		x											

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Part I: Transactions

	Identification of Assets	Transaction Type (x)			Date (Mo., Day, Yr.)	Amount of Transaction (x)											Certificate of divestiture
		Purchase	Sale	Exchange		\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	
	Example: Central Airlines Common	x			2/1/99			x									
1	INTEL CORP COMMON INTC LAS VEGAS SANDS CORP COMMON LVS		x		7-Feb-11	x											
2	WESFARMERS ORD NALCO HOLDING CO COMMON NLC		x		23-Feb-11	x											
3	BANCO SANTANDER SA EURO.50 (REGD) CANON INC NPV		x		7-Mar-11	x											
4	THE WESTERN UNION COMMON WU NEWMONT MINING CORP COMMON NEM		x		22-Mar-11	x											
5	WESFARMERS ORD KINETIC CONCEPTS COMMON		x		23-Mar-11		x										
6	BARNES & NOBLE INC COMMON BKS EBAY INC COMMON EBAY		x		24-Mar-11		x										
7	BARNES & NOBLE INC COMMON BKS AOL INC COMMON AOL		x		29-Apr-11		x										
8	SUNPOWER CORP CLASS A SPWRA WAL MART STORES INC COMMON WMT		x		6-Jun-11	x											
9	CROWN CASTLE INTL COMMON CCI KDDI CORP NPV		x		6-Jun-11		x										
10	KDDI CORP NPV SEVEN & I HOLDINGS NPV		x		24-Jun-11		x										
11	WAL MART STORES INC COMMON WMT DIRECTV COMMON CLASS A DTV		x		28-Jun-11		x										
12	KINETIC CONCEPTS COMMON MARKET VECTORS ETF GOLD MINER ETF GDV		x		30-Jun-11		x										
13	KDDI CORP NPV INTL BUSINESS MCHN COMMON IBM		x		14-Jul-11		x										
14	EBAY INC COMMON EBAY COCA-COLA CO COMMON KO		x		20-Jul-11	x											
15	PROCTER & GAMBLE CO COMMON PG INTESA SANPAOLO EURO.52		x		27-Jul-11												
16	MARVELL TECH GRP LTD COMMON MRVL NOVELLUS SYS INC COMMON NVLS		x		11-Aug-11	x											
17	BANCO SANTANDER RTS OCT 13 11 SUNPOWER CORP CLASS A SPWRA		x		24-Aug-11	x											

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Part I: Transactions

Identification of Assets				Transaction Type (x)			Date (Mo., Day, Yr.)	Amount of Transaction (x)											
				Purchase	Sale	Exchange		\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Certificate of divestiture
Example: Central Airlines Common				x			2/1/99			x									
1 EBAY INC COMMON	EBAY			x			9-Nov-11		x										
COMCAST CORP CLASS A	CMCSA			x			28-Nov-11		x										
2 CORNING INCORPORATED COMMON	GLW			x			6-Dec-11		x										
RESEARCH IN MOTION COMMON	RIM			x			14-Dec-11		x										
3 SOC GENERALE EUR1.25				x			15-Dec-11	x											
REED ELSEVIER NV EUR0.07				x			15-Dec-11	x											
4 INTESA SANPAOLO EUR0.52				x			15-Dec-11		x										
RWE AG (NEU) NPV 'A'				x			15-Dec-11		x										
5 CIE DE ST-GOBAIN EUR4				x			15-Dec-11		x										
TOKIO MARINE HLDG NPV				x			15-Dec-11		x										
6 TOYOTA MOTOR CORP NPV				x			15-Dec-11		x										
CARREFOUR SA EUR2.5				x			15-Dec-11		x										
7 QBE INSURANCE GROUP ORD				x			15-Dec-11		x										
TELEFONICA SA EUR1 (ESP)				x			15-Dec-11		x										
8 FRANCE TELECOM EUR4				x			15-Dec-11		x										
TAKEDA PHARMACEUTI NPV				x			15-Dec-11			x									
9 NOVELLUS SYS INC COMMON	NVLS			x			19-Dec-11		x										
CIT GROUP INC COMMON NEW	CIT			x			30-Dec-11	x											
10 CITIGROUP INC COMMON STOCK	C		x				9-May-11		x										
CITIGROUP INC NEW COMMON STOCK	C		x				9-May-11		x										
11 SUNPOWER CORP COMMON	SPWR					x	17-Nov-11			x									
SUNPOWER CORP CLASS A	SPWR					x	17-Nov-11			x									
12 MOSAIC CO COMMON	MOS		x				25-May-11		x										
MOSAIC CO COMMON	MOS		x				25-May-11		x										
13 CENOVUS ENERGY COMMON	CE			x			15-Nov-11				x								
CENOVUS ENERGY COMMON	CE			x			15-Nov-11				x								
14 KINETIC CONCEPTS COMMON					x		7-Nov-11			x									
15 ISHARES SILVER TRUST ISHARES	SLV			x			4-Oct-11		x										
SPDR GOLD TR GOLD GOLD SHARES NPV	GLD			x			4-Oct-11		x										
16 SPDR GOLD TR GOLD GOLD SHARES NPV	GLD			x			14-Dec-11			x									
PEPSICO INC COMMON	PEP				x		26-Jul-11	x											
17 SPDR GOLD TR GOLD GOLD SHARES NPV	GLD			x			14-Dec-11	x											

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Part I: Transactions

Identification of Assets				Transaction Type (x)			Date (Mo., Day, Yr.)	Amount of Transaction (x)											
				Purchase	Sale	Exchange		\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Certificate of divestiture
Example: Central Airlines Common				x			2/1/99			x									
1	ISHARES INC	MSCI CDA INDEX	EWC		x		14-Nov-11			x									
	ISHARES TR	IBOXX \$ INVTOP CP BD	LQD		x		14-Nov-11	x											
2	ISHARES TR	BARCLAYS7-10YR TR BD	IEF		x		14-Nov-11	x											
	ISHARES TR	BARCLAYS 3-7 YR TR	IEI		x		14-Nov-11		x										
3	ISHARES TR	MSCI EAFE IDX	EFA		x		14-Dec-11	x											
4	SPDR DOW JONES INDL ETF UT SER 1		DIA	x			14-Feb-11		x										
5	ISHARES SILVER TRUST ISHARES		SLV	x			5-Jul-11	x											
	SPDR GOLD TR GOLD GOLD SHARES NPV		GLD	x			5-Jul-11	x											
6	SPDR GOLD TR GOLD GOLD SHARES NPV		GLD	x			14-Dec-11	x											
7	SPDR DOW JONES INDL ETF UT SER 1		DIA	x			14-Feb-11				x								
	ISHARES SILVER TRUST ISHARES		SLV	x			5-Jul-11	x											
8	SPDR GOLD TR GOLD GOLD SHARES NPV		GLD	x			5-Jul-11		x										
	SPDR GOLD TR GOLD GOLD SHARES NPV		GLD	x			14-Dec-11		x										
9	SPDR DOW JONES INDL ETF UT SER 1		DIA	x			14-Feb-11				x								
10	ISHARES SILVER TRUST ISHARES		SLV	x			5-Jul-11	x											
	SPDR GOLD TR GOLD GOLD SHARES NPV		GLD	x			5-Jul-11		x										
11	SPDR GOLD TR GOLD GOLD SHARES NPV		GLD	x			14-Dec-11		x										
12																			
13																			
14																			
15																			
16																			
17																			

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Part I: Liabilities

Report liabilities over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent children. Check the highest amount owed during the reporting period. Exclude a mortgage on your

personal residence unless it is rented out; loans secured by automobiles, household furniture or appliances; and liabilities owed to certain relatives listed in instructions. See instructions for revolving charge accounts.

None ☒

Category of Amount or Value (x)

any time during the reporting period by you, your spouse, or dependent children. Check the highest amount owed during the reporting period. Exclude a mortgage on your			by automobiles, household furniture or appliances, and liabilities owed to certain relatives listed in instructions. See instructions for revolving charge accounts.			Date Incurred	Interest Rate	Term if applicable	\$10,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
Creditors (Name and Address)			Type of Liability																
Examples:	First District Bank, Washington, DC John Jones, 123 J St., Washington, DC	Mortgage on rental property, Delaware Promissory note	1991 1999	8% 10 %	25 yrs. on demand			x			x								
1																			
2																			
3																			
4																			
5																			

* This category applies only if the liability is solely that of the filer's spouse or dependent children. If the liability is that of the filer or a joint liability of the filer with the spouse or dependent children, mark the other higher categories, as appropriate.

Part II: Agreements or Arrangements

Report your agreements or arrangements for: continuing participation in an employee benefit plan (e.g. 401k, deferred compensation); (2) continuation payment by a former employer (including severance payments); (3) leaves

of absence; and (4) future employment. See instructions regarding the reporting of negotiations for any of these arrangements or benefits

None ☐

	Status and Terms of any Agreement or Arrangement	Parties	Date
Example:	Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on service performed through 1/00.	Doe Jones & Smith, Hometown, State	7/85
1	TIAA/CREF Account—upon termination of employment, no further contributions will be made by employer or filer	Brookings Institution	2003
2			
3			
4			
5			
6			

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01/23/09

Part I: Positions Held Outside U.S. Government

Report any positions held during the applicable reporting period, whether compensated or not. Positions include but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or

consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. Exclude positions with religious, social, fraternal, or political entities and those solely of an honorary nature.

None ☒

	Organization (Name and Address)	Type of Organization	Position Held	From (Mo., Yr.)	To (Mo., Yr.)
Examples:	Nat'l Assn. of Rock Collectors, NY, NY	Non-profit education	President	6/92	Present
	Doe Jones & Smith, Hometown, State	Law firm	Partner	7/85	1/00
1	Rice-Cameron Family Foundation	Family Foundation	Trustee	12/2006	present
2					
3					
4					
5					
6					

Part II: Compensation In Excess Of \$5,000 Paid by One Source

Report sources of more than \$5,000 compensation received by you or your business affiliation for services provided directly by you during any one year of the reporting period. This includes the names of clients and customers of any

corporation, firm, partnership, or other business enterprise, or any other non-profit organization when you directly provided the services generating a fee or payment of more than \$5,000. You need not report the U.S. Government as a source.

Do not complete this part if you are an Incumbent, Termination Filer, or Vice Presidential or Presidential Candidate

None ☐

	Source (Name and Address)	Brief Description of Duties
Examples:	Doe Jones & Smith, Hometown, State	Legal services
	Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services in connection with university construction
1		
2		
3		
4		
5		
6		

Prior Editions Cannot Be Used.